

Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number HVWD-01001US0		Serial/Patent Number 09/648,211	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)				Applicant/Patent Owner John S. Flowers et al.			
				Filing/Issue Date August 25, 2000		Group Art Unit Unknown	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date
AM		5,892,903	04/06/99	Klaus	395	87.01	09/12/96
AM		5,136,523	08/04/92	Landers	395		03/26/91
AM		5,278,901	01/11/94	Shieh et al.	380	4	04/30/92
AM		5,802,320	09/01/98	Baehr et al.	395	200.79	05/18/95
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Date	Country	Class	Subclass	Trans- lation Yes   No
<b>OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)</b>							
AM		Rebecca Bace, Infidel, Inc. "An Introduction to Intrusion Detection and Assessment", 1999, 38 pages.					
AM		Fyodor, "Remote OS detection via TCP/IP Stack FingerPrinting", October 18, 1998, 10pages.					
Examiner				Date Considered 12/2/02			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							
*1 = Copy not submitted because it was submitted in prior application SN / , filed , 19 .							
*2 = Copy not submitted because it was submitted in prior application SN / , filed , 19 .							

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application No.	09/648,211
				Filing Date	August 25, 2000
				First Named Inventor	John S. Flowers <i>et al.</i>
				Art Unit	2131
				Examiner Name	Gail O. Hayes
Sheet	1	of	3	Attorney Docket Number	23327-06895


U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number - Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
AM	A1	US- 5,278,901	01-11-1994	Shieh et al
AM	A2	US- 5,796,942	08-18-1998	Esbensen
AM	A3	US- 5,798,706	08-25-1998	Kraemer et al.
AM	A4	US- 5,892,903	04-06-1999	Klaus
AM	A5	US- 5,931,946	08-03-1999	Terada et al.
AM	A6	US- 5,958,015	09-28-1999	Dascalu
AM	A7	US- 5,991,881	11-23-1999	Conklin et al.
AM	A8	US- 6,185,689 B1	02-06-2001	Todd, Sr. et al.
AM	A9	US- 6,263,444 B1	07-17-2001	Fujita
AM	A10	US- 6,279,113 B1	08-21-2001	Vaidya
AM	A11	US- 6,282,546 B1	08-28-2001	Gleichauf et al.
AM	A12	US- 6,298,445 B1	10-02-2001	Shostack et al.
AM	A13	US- 6,301,668 B1	10-09-2001	Gleichauf et al.
AM	A14	US- 6,321,338 B1	11-20-2001	Porras et al.
AM	A15	US- 6,324,656 B1	11-27-2001	Gleichauf et al.
AM	A16	US- 6,330,562 B1	12-11-2001	Boden et al.
AM	A17	US- 6,343,362 B1	01-29-2002	Ptacek et al.
AM	A18	US- 6,347,376 B1	02-12-2002	Attwood et al.
AM	A19	US- 6,359,557 B2	03-19-2002	Bilder
AM	A20	US- 6,363,489 B1	03-26-2002	Comay et al.
AM	A21	US- 6,370,648 B1	04-09-2002	Diep
AM	A22	US- 6,408,391 B1	06-18-2002	Huff et al.
AM	A23	US- 2002/0133721 A1	09-19-2002	Adjaoute

RECEIVED

DEC 03 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
AM	B1	WO 01/31420 A2	05-03-2001	Visa International Service Association	
AM	B2	WO 02/45380 A2	06-06-2002	Lancop, Inc.	

Examiner Signature		Date Considered	12/2/02
--------------------	---	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

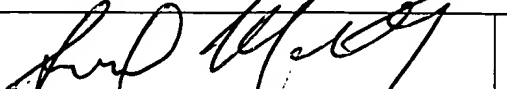
<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application No.	09/648,211
				Filing Date	August 25, 2000
				First Named Inventor	John S. Flowers <i>et al.</i>
				Art Unit	2131
				Examiner Name	Gail O. Hayes
Sheet	2	of	3	Attorney Docket Number	23327-06895

**RECEIVED**  
DEC 03 2002  
Technology Center 2100

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
JP	C1	Abstract, W. Erhard, et al., "Network Traffic Analysis and Security Monitoring With UniMon", Proceeding of the IEEE Conference on High Performance Switching and Routing, 2000, ATM 2000, pp 439 – 46 (June 2000).	
JP	C2	Abstract, Dept. of Comput. Sci., California Univ., Davis, CA, USA, "A Methodology For Testing Intrusion Detection Systems", IEEE Transactions on Software Engineering, Vol. 22, Issue 10, pp 719-29 (October 1996).	
JP	C3	Abstract, Mounji A. Le Charlier, et al., "Distributed Audit Trail Analysis", Proceeding of the Symposium on Network and Distributed System Security, 1995, pp 102 – 12 (Feb 16 – 17, 1995).	
JP	C4	Abstract, L.T. Heberlein, et al., "A Network Security Monitor" Proceeding of the 990 IEEE Computer Society Symposium on Research in Security and Privacy, pp 296-04, (May 7 – 9, 1990).	
JP	C5	Abstract, Xinzhou Quin et al., "Integrating Intrusion Detection and Network Management", Network Operation and Management Symposium, 2002. NAOMS 2002. 2002 IEEE/IFIP, pp 329 – 44 (April 15 – 19, 2002).	
JP	C6	Abstract, D.G. Schwartz et al., "A Case-Based Approach To Network Intrusion Detection", Proceeding of the 5th International Conference on Information Fusion, 2002. Vol. 2 pp 1084 – 89 (July 8 – 11, 2002).	
JP	C7	Abstract, "Open Source Security: Opportunity or Oxymoron?" Computer, Vol. 35, Issue 3, pp 18 – 21 (March 2002).	
JP	C8	Abstract, Liu Dihua, et al. "Data Mining For Intrusion Detection", Proceedings ICII 2001 – Beijing 2001 International Conference on Info-Tech and Info-Net, 2001, Vol. 5, pp 7 – 12, (October 29 – November 2001).	
JP	C9	Abstract, Kai Hwang & M. Gangadharan, "Micro-Firewalls for Dynamic Network Security With Distributed Intrusion Detection", NCA 2001 IEEE International Symposium on Network Computing and Applications, 2001. pp 68 – 79, (October 8 – 10, 2001).	
JP	C10	Abstract, Wenke Lee Stolfo, et al., "Real Time Data Mining-Based Intrusion Detection", Proceedings DARPA Information Survivability Conference & Exposition II, 2001, DISCEX '01. Vol. 1, pp 89 – 100 (June 12 – 14, 2001).	

Examiner Signature		Date Considered	12/2/03
--------------------	---	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

<b>Application No.</b>	09/648,211
<b>Filing Date</b>	August 25, 2000
<b>First Named Inventor</b>	John S. Flowers <i>et al.</i>
<b>Art Unit</b>	2131
<b>Examiner Name</b>	Gail O. Hayes
<b>Attorney Docket Number</b>	23327-06895

Sheet	3	of	3
-------	---	----	---

[illegible]

Examiner  
Signature

Date  
Considered

12/2/03

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application No.	09/648,211
				Filing Date	August 25, 2000
				First Named Inventor	John S. Flowers
				Art Unit	2131
				Examiner Name	Ayaz R. Sheikh
Sheet	1	of	1	Attorney Docket Number	23327-06895

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
AM	A1	US-6,415,321 B1	07/02/2002	Glechauf et al.
AM	A2	US-6,269,447 B1	07/31/2001	Maloney et al.
AM	A3	US-5,699,403	12/16/1997	Ronnen
AM	A4	US-5,557,742	09/17/1996	Smaha et al.
		US-		
		US-		

RECEIVED  
AUG 13 2003  
Technology Center 2100

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>	
AM	C1	"Microsoft Computer Dictionary Fifth Edition," 2002, 6 pages		
AM	C2	ANDERSON, TERESA, "Hunting for Holes," Security Management, Arlington, April 1996, 2 pages		
AM	C3	BREYFOGLE, STACEY, "Don't Stop at Your Servers," Software Magazine, Englewood, January 1998, pp. 1-3		
AM	C4	JOHNSON, JOHNA TILL, "Simulated Attack for Real Network Security," Data Communications, November 2, 1995, pp 31-32		

23327/06895/DOCS/1366558.1

Examiner Signature		Date Considered	12/2/03
--------------------	--	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

OIPE JC158  
 NOV 26 2003  
 PATENT & TRADEMARK OFFICE

Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>			Application No.	09/648,211	
			Filing Date	August 25, 2000	
			First Named Inventor	John S. Flowers	
			Art Unit	2131	
			Examiner Name	Aravind K. Moorthy	
Sheet	1	of	1	Attorney Docket Number	23327-06895

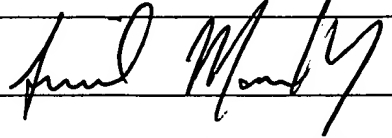
U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
AM	A	US 6,609,205 B1	08/19/2003	Bernhard et al.
AM	B	US 6,484,315 B1	11/19/2002	Ziese

**RECEIVED**  
 NOV 26 2003  
 Technology Center 2100

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>	

23327/06895/DOCS/1390313.1

Examiner Signature		Date Considered	12/8/03
--------------------	---	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.  
 Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.